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USAID Washington Disposition Schedule Chapter 14: Administrative Management Records

A Mandatory Reference for ADS Chapter 502

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USAID WASHINGTON DISPOSITION SCHEDULE

CHAPTER 14 ADMINISTRATIVE MANAGEMENT RECORDS – These records are cutoff annually, by fiscal year, unless stated otherwise.

ITEM NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

This section lists records of the organization, functional management, and emergency planning of the Agency; administration coordination and relations with other Federal agencies and with cooperative service type organizations of host governments. It also includes paperwork and other management systems and programs records.

14010	<p>Formal Directives, distributed as orders, circulars, or in loose-leaf manual form, announcing major changes in the Agency's policies and procedures.</p> <p>a. Issuances related to Agency program functions.</p>	<p>Permanent. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 yrs. blocks when 20 yrs. old. (e.g., offer 1970-74 block in 1995). (NI-286-86-1)</p>
14020	<p>b. Case files related to (a) above which document important aspects of the development of the issuance.</p>	<p>Permanent. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 yrs. blocks when 20 yrs. old.</p>
14030	<p>c. Issuances related to routine administrative functions (e.g., payroll, procurement, and personnel).</p>	<p>Temporary. Destroy when superseded or obsolete. (GRS 16 Item1.a)</p>
14040	<p>d. Case files related to (c) above, which document routine aspects of development of the issuance.</p>	<p>Temporary. Destroy when issuance is destroyed. (GRS 16 Item1.b)</p>
14050	<p>Publications - Pamphlets, reports, leaflets, file manuals, or other published or processed documents, or the last manuscript report if not published, relating to management projects.</p> <p>a. Record copy with the supporting papers which document the inception, scope, and purpose of the project.</p>	<p>Permanent. Retire to WNRC when 3 yrs. old. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs. old (i.e., in 1987 offer 1973-77 records).</p>
14060	<p>b. Working papers and background materials.</p>	<p>Temporary. Destroy when 1 yr. old.</p>
14070	<p>Records Disposition Files</p> <p>a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt, and related documentation.</p> <p>(1) SF-115s that have been approved by NARA.</p>	<p>Temporary. Destroy 2 yrs. after supersession.(GRS 16 Item 2.a.(1))</p>
14080	<p>(2) Other records, including working papers and background materials.</p>	<p>Temporary. Destroy 6 yrs. after related records are destroyed or after related records are</p>

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14090	b. <u>Extra copies and routine correspondence and memoranda.</u>	transferred to NARA, whichever is applicable.(GRS16,Item 2.a.(2) Temporary. Destroy when 2 yrs. old. (GRS 16 Item 2.b.)
14100	Forms Files a. One <u>record copy</u> of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.	Temporary. Destroy 5 yrs. after related form is discontinued, superseded, or cancelled. (GRS 16 Item 3.a)
14110	b. <u>Working papers, background materials, requisitions, specifications, processing data, and control records.</u>	Temporary. Destroy when related form is superseded, discontinued or cancelled (GRS 16 Item 3.b.)
14120	Management Improvement Reports – Copies of reports submitted to the Office of Management and Budget and related analyses and feeder reports.	Permanent. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 yr. blocks when 20 yrs. old (e.g., in 1987 offer 1963-67 records.)
14130	Records Holdings Files – Statistical reports of Agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer. a. <u>Records held by the office that prepares reports on Agency-wide records holdings.</u>	Temporary. Destroy when 3 yrs. old. (GRS 16 Item 4.a)
14140	b. <u>Records held by other offices.</u>	Temporary. Destroy when 1 yr. old. (GRS 16 Item 4.b)
14150	Project Control Files – Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	Temporary. Destroy 1 year after the year in which the project is closed. (GRS 16 Item 5)
14160	Reports Control Files – Case files maintained for each Agency report created or proposed, including public use reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.	Temporary. Destroy 2 yrs. after the report is discontinued (GRS 16 Item 6)
14170	Working Papers – Project background records, such as studies, analyses, notes, drafts, and interim reports.	Temporary. Destroy 1 yr. after the year in which the project is closed. (GRS 16 Item 5)

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14180	Records Management Files – Correspondence, reports, authorizations, and other records that relate to the management of Agency records, including such matters as forms, correspondence, reports, mail and files management; the use of microforms, ADP systems and word processing; records management surveys; vital records program; and all other aspects of records management not covered elsewhere in this schedule.	Temporary. Destroy when 6 yrs. old. (GRS 16 Item 7)
14190	<p>Organizational Files (NI-286-96-1)</p> <p>a. Organizational charts and re-organizational studies. Graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies of an agency. Reorganization studies are conducted to design an efficient organizational framework that must be suited to carrying out the agency's program, and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.</p>	Permanent. Hold in office for 7 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when 20 yrs. old. (e.g., offer 1970-74 block in 1995).
14200	b. Functional statements. Formally prepared descriptions of the responsibilities assigned to the senior executive officers of the agency at the division level and above. If the functional statements are printed in the Code of Federal Regulations (CFR), they are not designated for preservation as a separation series.	Permanent. Hold in office for 7 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when 20 yrs. old.
14210	c. Agency histories and selected background materials. Narrative agency histories, including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the Agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made for convenient reference.	Permanent. Hold in office for 7 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when 20 yrs. old.
14220	Feasibility Studies – Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micro-graphics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives to the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.	Temporary. Destroy 5 yrs. after completion or cancellation of the study. (GRS 16 Item 9)
14230	Emergency Planning Administrative Correspondence Files – Correspondence files relating to administration and Operation of the emergency planning program, not covered by Items 14010-14040 or elsewhere in this schedule.	Temporary. Destroy when 2 yrs. old (GRS 18 Item 26)
14240	<p>Emergency Planning Case Files – Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background papers.</p> <p>a. One record copy of each plan or directive issued, if not included in the Agency's permanent set of master directives files.</p>	Permanent. Cut off when superseded or obsolete. Offer to NARA when 15 yrs. old in 10 yr. blocks (e.g., offer 1970-79 block in 1995).

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14250	b. Case file copy of plan or directive if Agency record copy is maintained in a master directives file and all related background materials.	Temporary. Destroy 3 yrs. after issuance of a new plan or directive. (GRS 18 Item 27)
14260	Emergency Directives Reference Files – Copies of directives and plans issued by the Agency (other than those maintained in case files described in Items 14240-14250 above), as well as those issued by FEMA, other Federal agencies, State or local governments, and the private sector.	Temporary. Destroy when obsolete or superseded.
14270	Emergency Planning Reports – Agency reports or operations tests, consisting of consolidated or comprehensive reports reflecting Agency-wide results of tests conducted under emergency plans.	Permanent. Cut off when related plan or directive becomes obsolete or is superseded. Offer to NARA when 15 yrs. old in 10 yr. blocks (e.g., offer 19970-79 blocks in 1995).
14280	Emergency Operations Tests Files – Files accumulating from tests conducted under Agency emergency plans, such as instructions to members participating in testing, staffing assignments, messages tests of communications and facilities, and reports (excluding consolidated and comprehensive reports under Item 14270 above).	Temporary. Destroy when 3 yrs. old. (GRS18 Item 28)
GRS 14, Item 15 or GRS 18, Item 30	Electronic Mail (E-mail) and Word Processing (WP) System Copies – Electronic copies of records that are created on E-mail and WP systems and used solely to generate a recordkeeping copy of the records described in this chapter. Also includes electronic copies of records created on E-mail and WP systems that are maintained for updating, revision, or dissemination. a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal e-mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Temporary. Destroy or delete within 180 days after the recordkeeping copy has been produced. Temporary. Destroy or delete when dissemination, revision, or updating is completed.